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## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

|  |    |                        |                  |
|--|----|------------------------|------------------|
|  |    | Application No.        | 10/051,871       |
|  |    | Filing Date            | January 16, 2002 |
|  |    | First Named Inventor   | Dave Hamilton    |
|  |    | Group Art Unit         | 2152             |
|  |    | Examiner Name          | Unassigned       |
| Total Number of Pages in This Submission | 13 | Attorney Docket Number | 3992P005X        |

### ENCLOSURES (check all that apply)

|  |  |   |
|--|--|---|
| <input checked="" type="checkbox"/> Fee Transmittal Form                           | <input type="checkbox"/> Assignment Papers<br>(for an Application)                         | <input type="checkbox"/> After Allowance Communication<br>to Group                            |
| <input type="checkbox"/> Fee Attached  | <input type="checkbox"/> Drawing(s)  | <input type="checkbox"/> Appeal Communication to Board<br>of Appeals and Interferences        |
| <input type="checkbox"/> Amendment / Response                                      | <input type="checkbox"/> Licensing-related Papers  | <input type="checkbox"/> Appeal Communication to Group<br>(Appeal Notice, Brief, Reply Brief) |
| <input type="checkbox"/> After Final   | <input type="checkbox"/> Petition  | <input type="checkbox"/> Proprietary Information  |
| <input type="checkbox"/> Affidavits/declaration(s)                                 | <input type="checkbox"/> Petition to Convert a<br>Provisional Application                  | <input type="checkbox"/> Status Letter  |
| <input type="checkbox"/> Extension of Time Request                                 | <input type="checkbox"/> Power of Attorney, Revocation<br>Change of Correspondence Address | <input checked="" type="checkbox"/> Other Enclosure(s)<br>(please identify below)             |
| <input type="checkbox"/> Express Abandonment Request                               | <input type="checkbox"/> Terminal Disclaimer   | <b>RECEIVED</b>   |
| <input checked="" type="checkbox"/> Information Disclosure Statement               | <input type="checkbox"/> Request for Refund  | <b>APR 24 2002</b>  |
| <input type="checkbox"/> Certified Copy of Priority<br>Document(s)                 | <input type="checkbox"/> CD, Number of CD(s)   | <b>Technology Center</b>  |
| <input type="checkbox"/> Response to Missing Parts/<br>Incomplete Application      | Six Prior Art References   |   |
| <input type="checkbox"/> Response to Missing<br>Parts under 37 CFR<br>1.52 or 1.53 | Remarks  |   |

### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

|                               |   |
|-------------------------------|---|
| Firm<br>or<br>Individual name | Eric T. King, Reg. No. 44,188<br><br>BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP |
| Signature                     |   |
| Date                          | April 10, 2002  |

### CERTIFICATE OF MAILING/TRANSMISSION

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April 10, 2002

|                       |                 |      |                |
|-----------------------|-----------------|------|----------------|
| Typed or printed name | Susan McFarlane |      |                |
| Signature             |                 | Date | April 10, 2002 |

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PTO/SB/17 (11-01)

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APR 22 2002

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for FY 2002

Patent fees are subject to annual revision.

Applicant claims small entity status. See 37 CFR 1.27.

TOTAL AMOUNT OF PAYMENT

(\$)

Complete if Known

|                      |                  |
|----------------------|------------------|
| Application Number   | 10/051,871       |
| Filing Date          | January 16, 2002 |
| First Named Inventor | Dave Hamilton    |
| Examiner Name        | Unassigned       |
| Group/Art Unit       | 2152             |
| Attorney Docket No.  | 3992P005X        |

METHOD OF PAYMENT (check one)

Check  Credit card  Money Order  Other  None  
 Deposit Account

Deposit Account Number **02-2666**

Deposit Account Name **Blakely, Sokoloff, Taylor & Zafman LLP**

The Commissioner is authorized to: (check all that apply)

Charge fee(s) indicated below  Credit any overpayments  
 Charge any additional fee(s) during the pendency of the application  
 Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account

FEE CALCULATION

1. BASIC FILING FEE

| Large Entity | Small Entity | Fee Code | Fee (\$) | Fee Code               | Fee (\$) | Fee Description | Fee Paid |
|--------------|--------------|----------|----------|------------------------|----------|-----------------|----------|
| 101          | 740          | 201      | 370      | Utility filing fee     |          |                 |          |
| 106          | 330          | 206      | 165      | Design filing fee      |          |                 |          |
| 107          | 510          | 207      | 255      | Plant filing fee       |          |                 |          |
| 108          | 740          | 208      | 370      | Reissue filing fee     |          |                 |          |
| 114          | 160          | 214      | 80       | Provisional filing fee |          |                 |          |
| SUBTOTAL (1) |              |          |          |                        |          |                 |          |

2. EXTRA CLAIM FEES

| Total Claims | Independent Claims | Extra Claims  | Fee from below | Fee Paid |
|--------------|--------------------|---|----------------|----------|
| 34           | 2                  | ** = <input type="text"/> X <input type="text"/> = <input type="text"/> |                |          |
|              |                    | = <input type="text"/> X <input type="text"/> = <input type="text"/>    |                |          |

| Large Entity | Small Entity | Fee Code | Fee (\$) | Fee Code  | Fee (\$) | Fee Description | Fee Paid |
|--------------|--------------|----------|----------|---|----------|-----------------|----------|
| 103          | 18           | 203      | 9        | Claims in excess of 20                                    |          |                 |          |
| 102          | 84           | 202      | 42       | Independent claims in excess of 3                         |          |                 |          |
| 104          | 280          | 204      | 140      | Multiple Dependent claim, if not paid                     |          |                 |          |
| 109          | 84           | 209      | 42       | **Reissue independent claims over original patent         |          |                 |          |
| 110          | 18           | 210      | 9        | **Reissue claims in excess of 20 and over original patent |          |                 |          |
| SUBTOTAL (2) |              |          |          |   |          |                 |          |

\*\*or number previously paid, if greater. For Reissues, see below

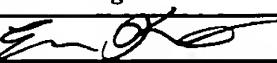
3. ADDITIONAL FEES

| Large Entity        | Small Entity | Fee Code | Fee (\$) | Fee Code   | Fee (\$) | Fee Description | Fee Paid |
|---------------------|--------------|----------|----------|--|----------|-----------------|----------|
| 105                 | 130          | 205      | 65       | Surcharge - late filing fee or oath  |          |                 |          |
| 127                 | 50           | 227      | 25       | Surcharge - late provisional filing fee or cover sheet                     |          |                 |          |
| 139                 | 130          | 139      | 130      | Non-English specification  |          |                 |          |
| 147                 | 2,520        | 147      | 2,520    | For filing a request for ex parte reexamination                            |          |                 |          |
| 112                 | 920*         | 112      | 920*     | Requesting publication of SIR prior to Examiner action                     |          |                 |          |
| 113                 | 1,840*       | 113      | 1,840*   | Requesting publication of SIR after Examiner action                        |          |                 |          |
| 115                 | 110          | 215      | 55       | Extension for reply within first month                                     |          |                 |          |
| 116                 | 400          | 216      | 200      | Extension for reply within second month                                    |          |                 |          |
| 117                 | 920          | 217      | 480      | Extension for reply within third month                                     |          |                 |          |
| 118                 | 1,440        | 218      | 720      | Extension for reply within fourth month                                    |          |                 |          |
| 128                 | 1,960        | 228      | 980      | Extension for reply within fifth month                                     |          |                 |          |
| 119                 | 320          | 219      | 180      | Notice of Appeal   |          |                 |          |
| 120                 | 320          | 220      | 180      | Filing a brief in support of an appeal                                     |          |                 |          |
| 121                 | 280          | 221      | 140      | Request for oral hearing   |          |                 |          |
| 138                 | 1,510        | 138      | 1,510    | Petition to institute a public use proceeding                              |          |                 |          |
| 140                 | 110          | 240      | 55       | Petition to revive - unavoidable   |          |                 |          |
| 141                 | 1,280        | 241      | 840      | Petition to revive - unintentional   |          |                 |          |
| 142                 | 1,280        | 242      | 840      | Utility issue fee (or reissue)   |          |                 |          |
| 143                 | 480          | 243      | 230      | Design issue fee   |          |                 |          |
| 144                 | 620          | 244      | 310      | Plant issue fee  |          |                 |          |
| 122                 | 130          | 122      | 130      | Petitions to the Commissioner  |          |                 |          |
| 123                 | 50           | 123      | 50       | Processing fee under 37 CFR 1.17(q)  |          |                 |          |
| 126                 | 180          | 126      | 180      | Submission of Information Disclosure Stmt                                  |          |                 |          |
| 581                 | 40           | 581      | 40       | Recording each patent assignment per property (times number of properties) |          |                 |          |
| 148                 | 740          | 248      | 370      | Filing a submission after final rejection (37 CFR § 1.129(a))              |          |                 |          |
| 149                 | 740          | 249      | 370      | For each additional invention to be examined (37 CFR § 1.129(b))           |          |                 |          |
| 179                 | 740          | 279      | 370      | Request for Continued Examination (RCE)                                    |          |                 |          |
| 169                 | 900          | 169      | 900      | Request for expedited examination of a design application                  |          |                 |          |
| Other fee (specify) |              |          |          |  |          |                 |          |
| SUBTOTAL (3)        |              |          |          |  |          |                 |          |

\* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

SUBMITTED BY

|                   |   |                                      |        |           |                |
|-------------------|---|--------------------------------------|--------|-----------|----------------|
| Name (Print/Type) | Eric T. King  | Registration No.<br>(Attorney/Agent) | 44,188 | Telephone | (714) 557-3800 |
| Signature         |  |                                      |        | Date      | 04/10/02       |

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APR 24 2002  
Technology Center 2100



Docket No.: 3992P005X

#5

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:

DAVE HAMILTON, ET AL.

Application No.: 10/051,871

Filed: January 16, 2002

For: **System and Method of Secure Electronic Commerce Transactions Including Tracking and Recording the Distribution and Usage of Assets**

Art Group: 2152

Examiner: Unassigned

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INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. § 1.97 APR 24 2002

Technology Center 2100

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

In accordance with the duty of disclosure, enclosed is a copy of Information Disclosure Statement by Applicant (form PTO/SB/08), which is being submitted before the mailing of a first Office Action. It is respectfully requested that the cited references be considered and that the enclosed copy of PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s). Copies of the references cited on PTO/SB/08 are enclosed herewith.

The submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made in the subject application and is not to be construed as an admission that the information cited in this statement is material to patentability.

Please charge any fees due to Deposit Account 02-2666. A duplicate copy of the Fee Transmittal (PTO/SB/17) is enclosed for this purpose.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP



Eric T. King, Reg. No. 44,188

Date: April 10, 2002

12400 Wilshire Blvd., 7th Floor  
Los Angeles, California 90025  
(714) 557-3800

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Susan McFarlane

04/10/02  
Date

| <p>Substitute for Form 1449A/PTO (Modified)</p> <p><b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b></p> <p>Use as many sheets as necessary)</p> <p>APR 22 2002</p> <p>TRADEMADE</p> |                          |                             |                    | <b>Complete if Known</b>                           |  |  |  |
|---|--------------------------|-----------------------------|--------------------|--|--|--|--|
|   |                          |                             |                    | Application Number                                 |  | 10/051,871   |  |
|   |                          |                             |                    | Filing Date  |  | 01/16/2002   |  |
|   |                          |                             |                    | First Named Inventor:                              |  | Hamilton   |  |
|   |                          |                             |                    | Group Art Unit                                     |  | 2152   |  |
|   |                          |                             |                    | Examiner Name                                      |  | Unassigned   |  |
| Sheet 1 of 2  |                          |                             |                    | Attorney Docket Number                             |  |  |  |
| <b>U.S. PATENT DOCUMENTS</b>  |                          |                             |                    |  |  |  |  |
| Exam.<br>Initial*   | Cite<br>No. <sup>1</sup> | U.S. Patent Document        |                    | Name of Patentee or Applicant<br>of Cited Document | Date of Publication of<br>Cited Document<br>MM-DD-YYYY | Pages, Columns, Lines,<br>Where Relevant<br>Passages or Relevant<br>Figures Appear |  |
|   |                          | Number<br>Code <sup>2</sup> | Kind<br>(If known) |  |  |  |  |
|   |                          | 5,789,689                   |                    | Doidic, et al.                                     | 08/04/98   |  |  |
|   |                          | 5,905,736                   |                    | Ronen, et al.                                      | 05/18/99   |  |  |
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| FOREIGN PATENT DOCUMENTS |                          |                         |  |  |  |  |                |
|--------------------------|--------------------------|-------------------------|--|--|--|--|----------------|
| Exam.<br>Initial*        | Cite<br>No. <sup>1</sup> | Foreign Patent Document |  | Name of Patentee or Applicant<br>of Cited Document | Date of Publication<br>of Cited Document<br>MM-DD-YYYY | Pages, Columns,<br>Lines, Where Relevant<br>Passages or Relevant<br>Figures Appear | T <sup>8</sup> |
|                          |                          | Office <sup>3</sup>     | Number <sup>4</sup> Kind Code <sup>5</sup><br>(If known) |  |  |  |                |
|                          |                          |                         |  |  |  |  |                |
|                          |                          | ... <sup>7</sup>        |  |  |  |  |                |
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|                       |  |                 |  |
|-----------------------|--|-----------------|--|
| Examiner<br>Signature |  | Date Considered |  |
|-----------------------|--|-----------------|--|

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard S.3). <sup>4</sup>For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

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|   |                      |  | Application Number   | 10/051,871  |  |
|   |                      |  | Filing Date  | 01/16/2002  |  |
|   |                      |  | First Named Inventor:  | Hamilton    |  |
|   |                      |  | Group Art Unit   | 2152        |  |
|   |                      |  | Examiner Name  | Unassigned  |  |
|   |                      |  | Attorney Docket Number   | 003992P005X |  |
| <b>OTHER ART – NO PATENT LITERATURE DOCUMENTS</b>   |                      |  |  |             |  |
| <b>COPY OF PAPERS<br/>ORIGINALLY FILED</b>  | Cite No <sup>1</sup> | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published   |  |             |  |
|   |                      | TOM SHELDON, Encyclopedia of Networking, Electronic Edition, pgs. 324-329, Osborne/McGraw-Hill, 1998.  |  |             |  |
|   |                      | Line 6, Amp Farm, The Guitar Recording Plug-In for TDM-Equipped Pro Tools Systems, <a href="http://www.sigidesign.com/products/prd_overview.cfm?product_id=1001">http://www.sigidesign.com/products/prd_overview.cfm?product_id=1001</a> & <a href="http://a396.g.akamai.net/7/396/1848/7473dc3aa964dc/media.digidesign.com/products/images">http://a396.g.akamai.net/7/396/1848/7473dc3aa964dc/media.digidesign.com/products/images</a> , 2001. |  |             |  |
|   |                      |  | Line 6, Amp Farm, The Guitar Recording Plug-In for TDM-Equipped Pro Tools Systems, <a href="http://www.digidesign.com/products/prd_specs.cfm?product_id=1001">http://www.digidesign.com/products/prd_specs.cfm?product_id=1001</a> , 2001.   |             |  |
|   |                      |  | e-commerce - a searchEBusiness definition, E-tailing or The Virtual Storefront and the Virtual Mall, <a href="http://searchebusiness.techtarget.com/sDefinition/0,,sid19_gci212029,00.html">http://searchebusiness.techtarget.com/sDefinition/0,,sid19_gci212029,00.html</a> , 2001. |             |  |
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|-----------------------|--|--------------------|--|
| Examiner<br>Signature |  | Date<br>Considered |  |
|-----------------------|--|--------------------|--|

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